

11/20/01
JC825 U.S. PTO

12/10/01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	GS 149
First Inventor	Fwu-Juan Hsieh et al.
Title	METHOD OF FORMING NARROW TRENCHES IN
Express Mail Label No.	ET477939696US

APPLICATION ELEMENTS		ADDRESS TO:	
See MPEP chapter 600 concerning utility patent application contents			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)		
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)		
3. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies		
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 6]	9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))		
5. Oath or Declaration a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney		
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	11. <input type="checkbox"/> English Translation Document (if applicable)		
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations		
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76	13. <input type="checkbox"/> Preliminary Amendment		
<input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: /	14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)		
Prior application information. Examiner _____ Group / Art Unit _____			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		27774 (Insert Customer No. or Attach bar code label here)	
or <input type="checkbox"/> Correspondence address below			
Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721
Signature			
Date	11/20/01		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$798.00

Complete if Known

Application Number	Unassigned
Filing Date	Filed Herewith
First Named Inventor	Fwu-Luan Hshieh et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	GS 149

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
 Deposit Account Number **Mayer Fortkort & Williams, PC**
 Deposit Account Name **50-1047**
 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
 Applicant claims small entity status See 37 CFR § 1.27

2. Payment Enclosed:
 Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370 Utility filing fee	740.00
106	330	206 165 Design filing fee	
107	510	207 255 Plant filing fee	
108	740	208 370 Reissue filing fee	
114	160	214 80 Provisional filing fee	
SUBTOTAL (1)			\$740.00

2. EXTRA CLAIM FEES

Extra Claims	Fee from below	Fee Paid
Total Claims 21	-20** = 1 X 18.00 = 18.00	
Independent Claims 2	- 3** = 0 X 84.00 = 0.00	
Multiple Dependent		

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	84	209 42 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		\$18.00

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non - English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR § 1.17(q)	
126	180	126 180 Submission of Information Disclosure Statement	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40.00
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.128(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$40.00

SUBMITTED BY

Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721	Telephone	908-518-7700
Signature	<i>Karin L. Williams</i>			Date	11/20/01

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MAYER FORTKORT & WILLIAMS

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November 20, 2001

Assistant Commissioner for Patents
Box Filing Date
Washington, DC 20231

Dear Sir:

Re: New U.S. Patent Application
Inventor: Fwu-Iuan Hshieh et al.
Filed: Herewith
Title: METHOD OF FORMING NARROW TRENCHES IN
SEMICONDUCTOR SUBSTRATES
Docket: GS 149

I hereby declare that I attempted to deposit the above-referenced new U.S. Patent Application with the United States Postal Service (USPS, Westfield, New Jersey) as Express Mail under 37 CFR 1.10 on November 20, 2001, and the USPS refused to accept this correspondence due to the recent emergency.

Per the instructions provided by the US PTO website (www.uspto.gov/september11/uspsmaildisrup.htm), the above-referenced application has been re-deposited with the USPS on November 20, 2001 as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, BOX FILING DATE, Washington, DC 20231.

A November 20, 2001 filing date is respectfully requested.

Yours truly,
MAYER FORTKORT & WILLIAMS, PC

Marjorie Scariati
Marjorie Scariati
Patent Paralegal

Enclosure

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. GS 149
Applicant(s): Fwu-Iuan Hsieh et al.			
Serial No. Unassigned	Filing Date Filed Herewith	Examiner Unassigned	Group Art Unit Unassigned
Invention: METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES			
<p>I hereby certify that this New U.S. Patent Application <small>(Identify type of correspondence)</small></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on 11/20/01 <small>(Date)</small></p> <p style="text-align: right;">Marjorie Scariati <small>(Typed or Printed Name of Person Mailing Correspondence)</small></p> <p style="text-align: right;"><i>Marjorie Scariati</i> <small>(Signature of Person Mailing Correspondence)</small></p> <p style="text-align: right;">ET477939696US <small>("Express Mail" Mailing Label Number)</small></p>			
<p>Note: Each paper must have its own certificate of mailing.</p>			